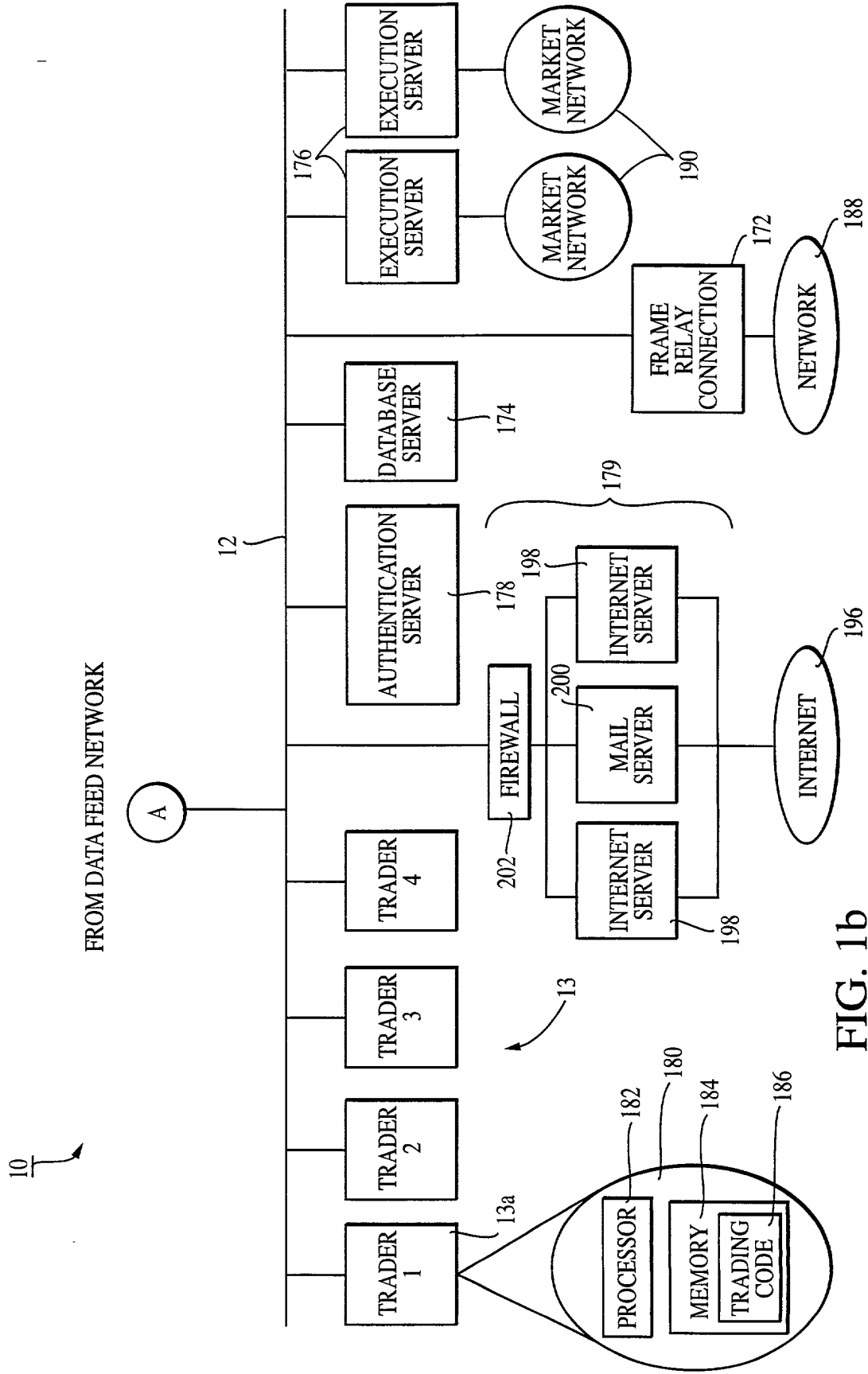


FIG. 1a



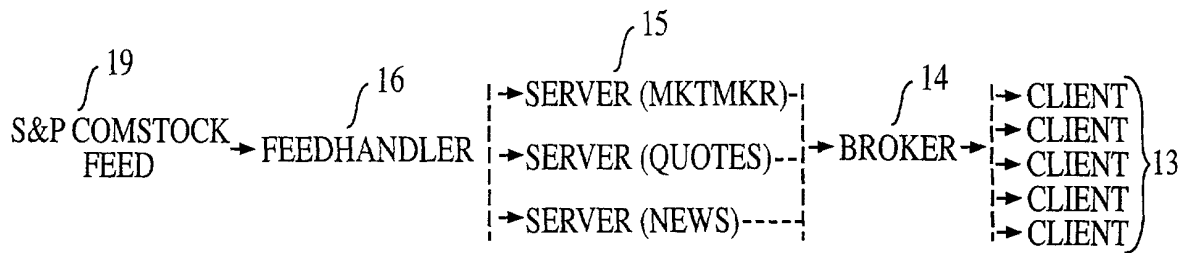


FIG. 2

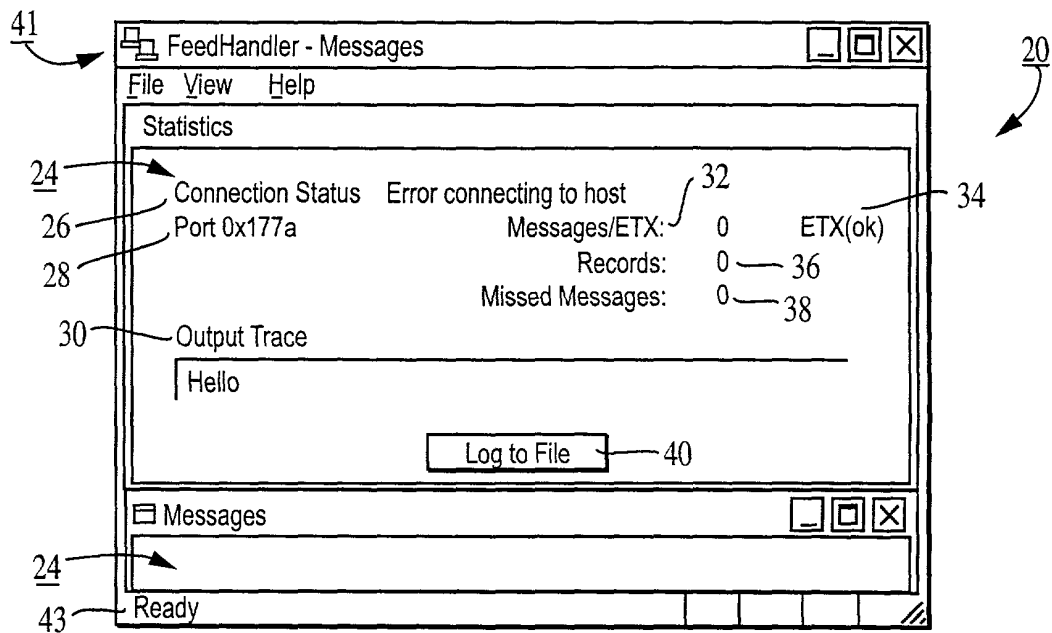


FIG. 3

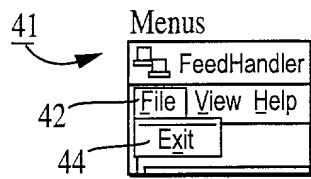


FIG. 4

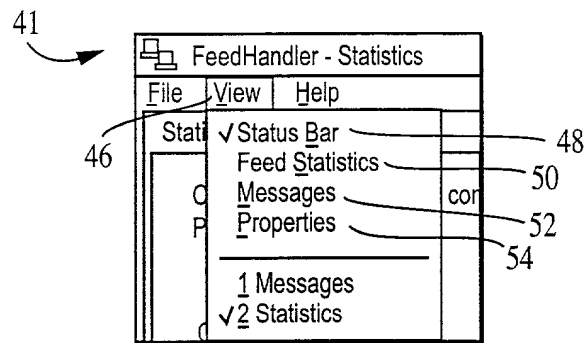


FIG. 5

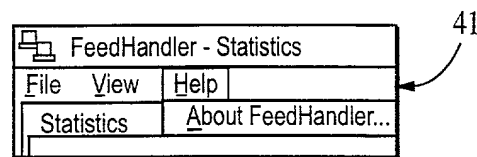


FIG. 6

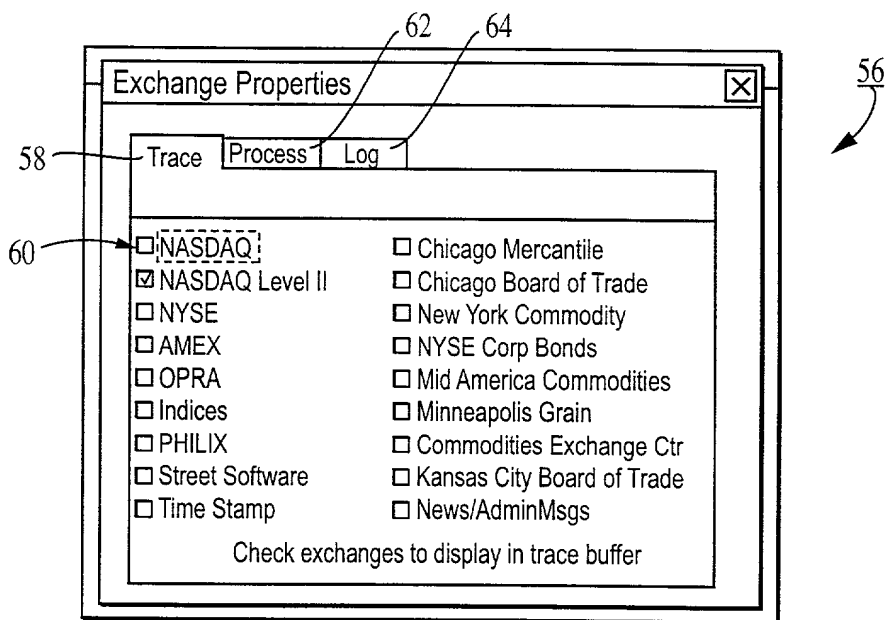


FIG. 7

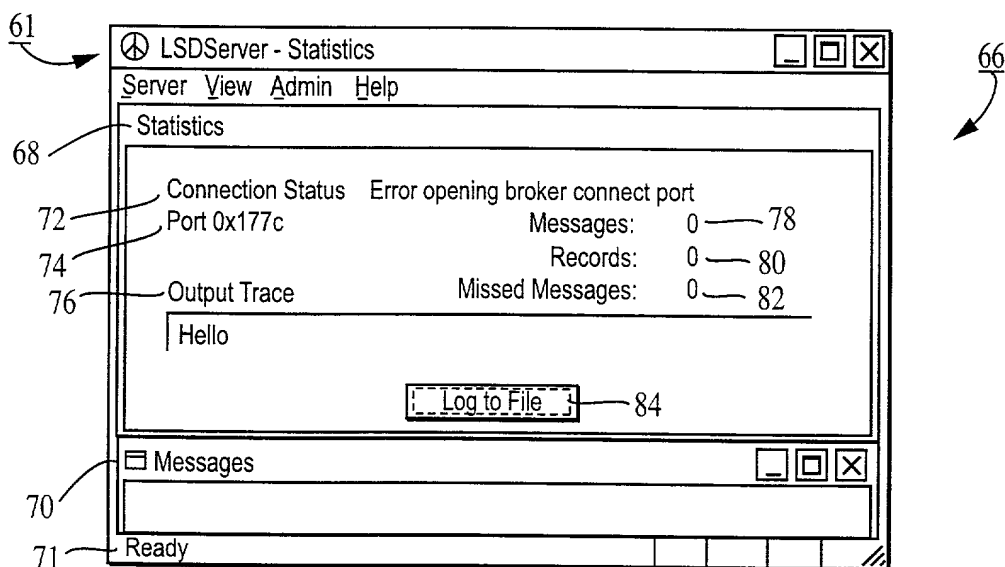


FIG. 8

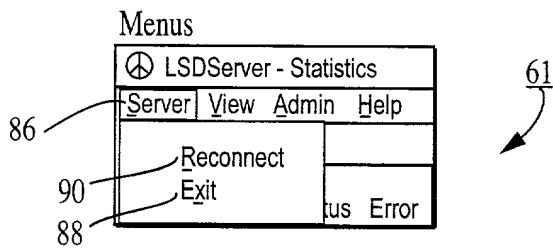


FIG. 9

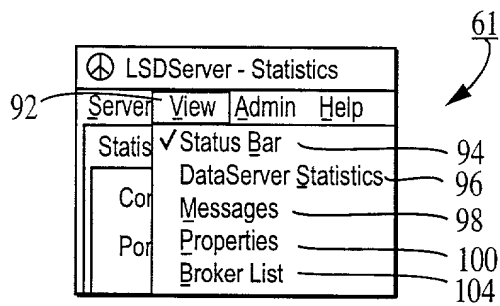


FIG. 10

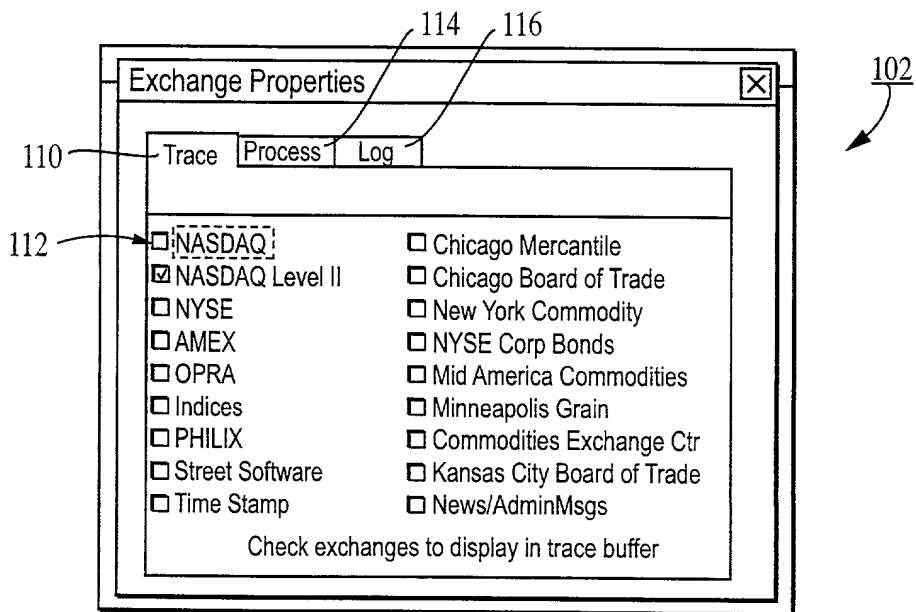


FIG. 11

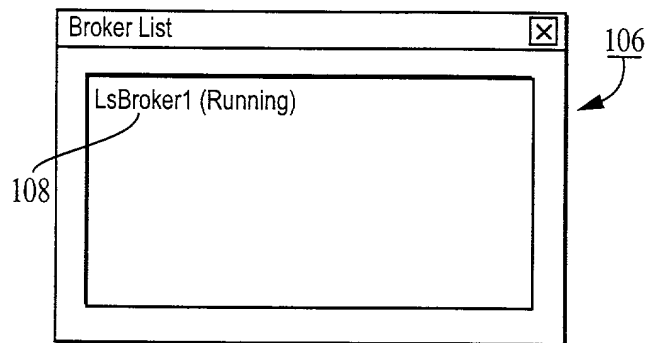


FIG. 12

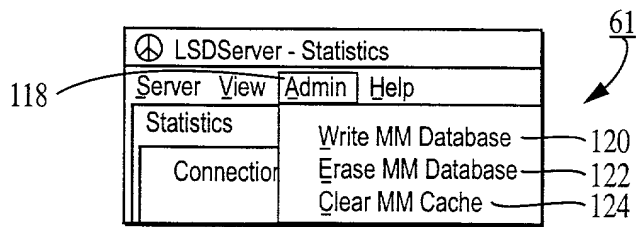


FIG. 13

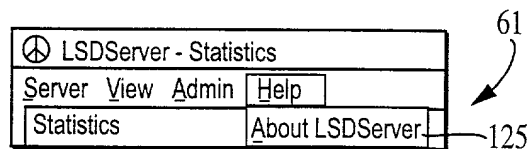


FIG. 14

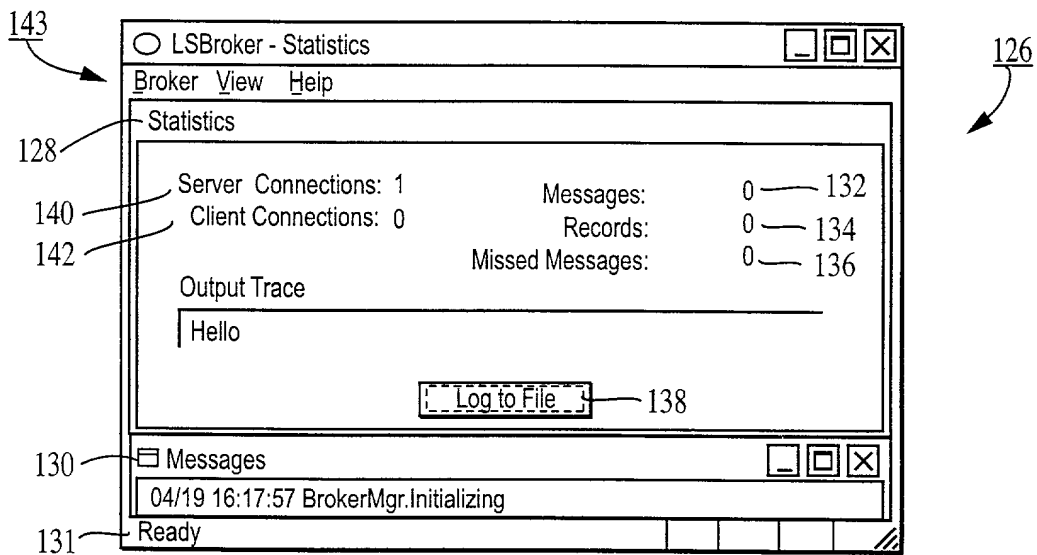


FIG. 15

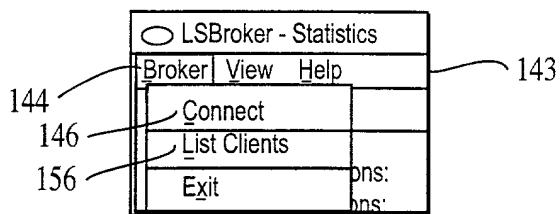


FIG. 16

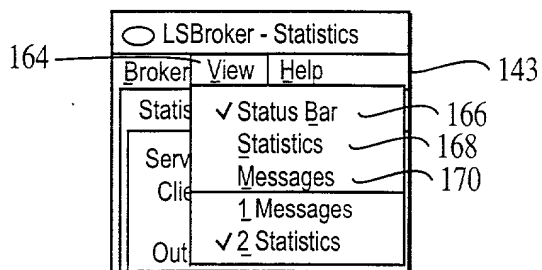


FIG. 17



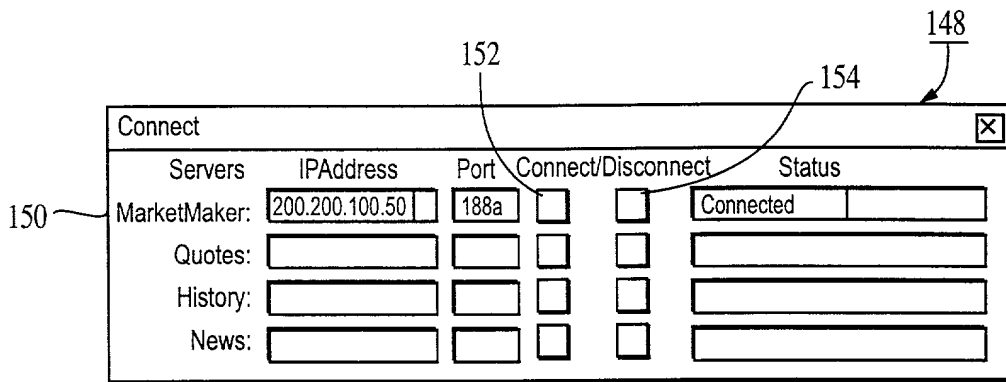


FIG. 18

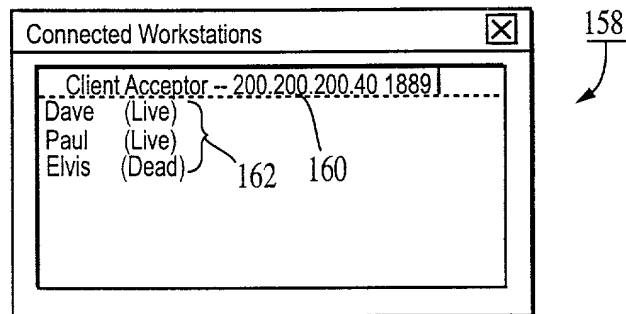


FIG. 19

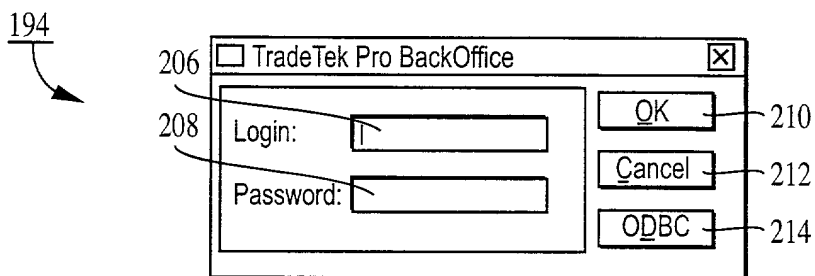


FIG. 20

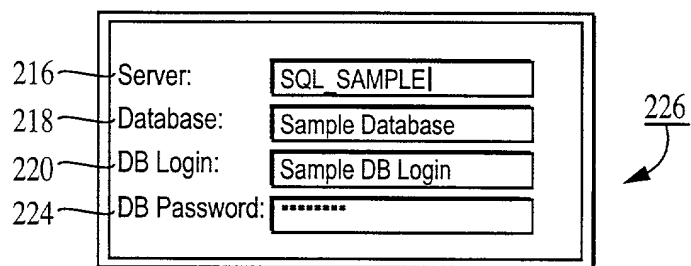


FIG. 21

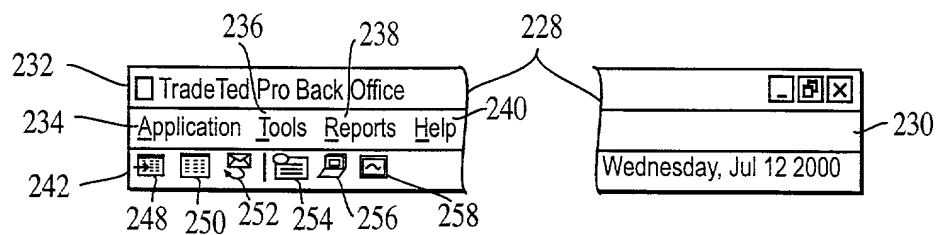


FIG. 22

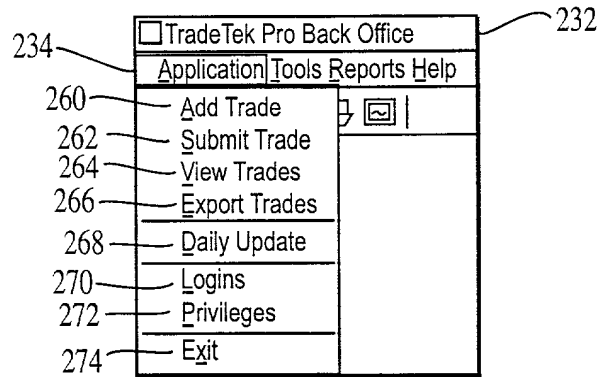


FIG. 23

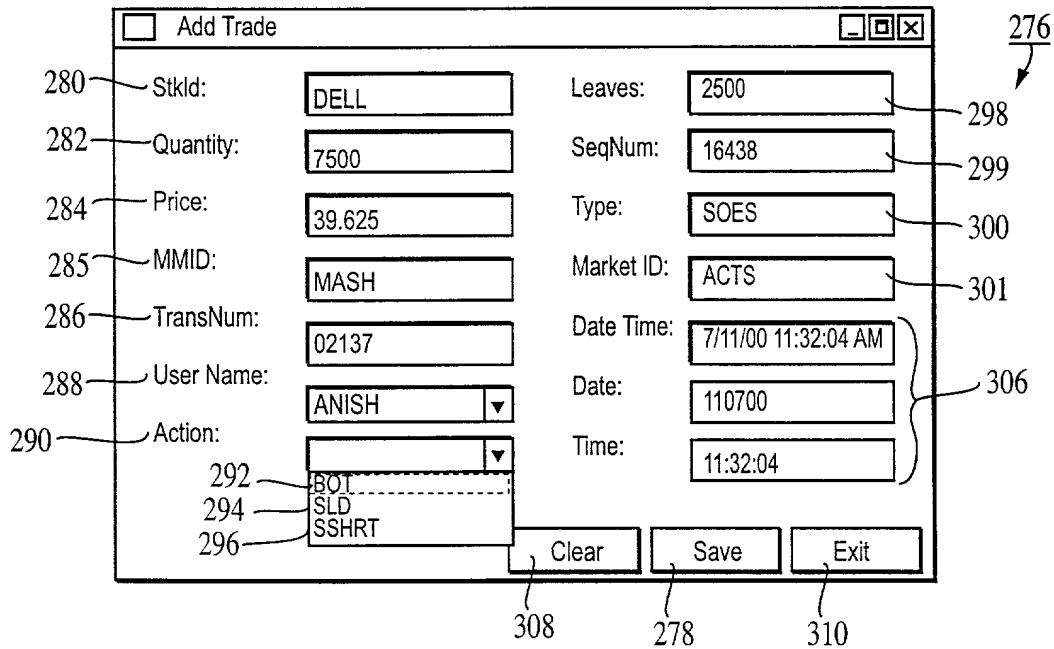


FIG. 24

☐ Submit Trade

314 StkId: DELL

316 Quantity: 500

318 Price: 39.625

326 Action: BOT

324 BOT  
SLD  
SSHRT

UserName: DAVIDA

Date Time: 7/11/00 11:36/28 AM

Server: ISLD

Report to Client? ☒

320

321

322

330

328 Clear Save Exit

FIG. 25

☐ View Trades

336 Date: 070300

334 Trades: Live

376 Sort by: TransNum

338 Show

332

340

StkId	Quantity	Price	MMId	TransNum	Account	StkId
MSFT	100	95 1/2	ARCA	1325	10206300	BOT
SCOT	200	8	ARCA	1326	10206300	BOT

FIG. 26

342

344 StkId	346 Quantity	348 Price	350 MMId	352 TransNum	356 Account
358 Action	360 Date	362 Time	364 DateTime	365 Leaves	366 SeqNum
368 Matched	370 StopValue	372 nPrice	374 TblIndex	375 Type	

FIG. 27

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☐ Export Trades

Date(ddmmyy): 020300
Show

StkId	Quantity	Price	MMId	TransNum	Account	Action	Date
GENE	100	61 11/16	ARCA	129	10206230	BOT	020300
GENE	100	61 11/16	ARCA	131	10206230	BOT	020300
AMGN	100	65 3/4	ARCA	135	10206250	BOT	020300
FCSE	100	4 13/32	ARCA	142	10206250	BOT	020300
YHOO	100	155 7/64	ARCA	146	10206230	SSHRT	020300
YHOO	900	154 7/8	ARCA	147	10206230	SSHRT	020300
IRSN	100	12 1/2	ARCA	150	10206230	BOT	020300
IRSN	500	12 1/2	ARCA	151	10206230	BOT	020300
IRSN	400	12 1/2	ARCA	153	10206230	BOT	020300

Export to

OATS

Login/Pwd:
msumbaa
winteraa

386
New Order Report

Firm Name:
TradeTek LLC

File Name:
OATS020300x.txt

Export
Exit

FIG. 28

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OK

Daily Update

Update Portfolio

Update the portfolio of all accounts with the open positions. Supposed to be done at the end of each day.

Last Trade Date: 02/25/2000

Update

View Portfolio

View the portfolio of the selected user. Select the user name from the following drop-down list box.

ABC

View

Clear Archived Trades

Clears the archived trades. This option removes all the backed up trades in archival process.

Clear

Archive Trades

Archives the active trades that are more than 3 days old. Supposed to be done at the end of each day.

Archive

FIG. 29

416

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Portfolio of NIRANJAN

StkId	Quantity	Price	Date
MSFT	100	95.5000	3/7/00 11:33:05 AM
SCOT	200	8.0000	3/7/00 11:33:05 AM

FIG. 30

FIG. 31

FIG. 32

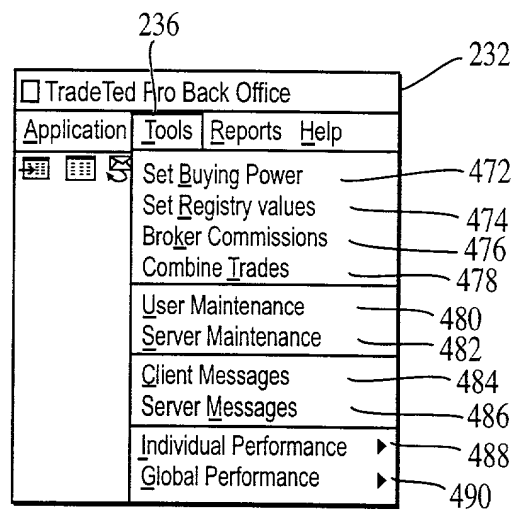


FIG. 33

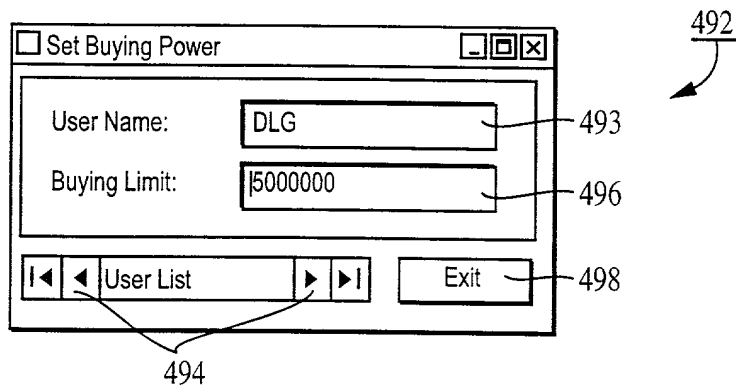


FIG. 34



500

☐ Registry Changes

Server:

IP Address:  Switch Port:

Port Number:  ServerPort:

Switch Machine:  Sender Comp ID:

Switch UID:  Target Comp ID:

Switch PWD:  Target Sub ID:

Switch Type:

FIG. 35

☐ Broker Commisssions

Broker:

Commission:

530

FIG. 36

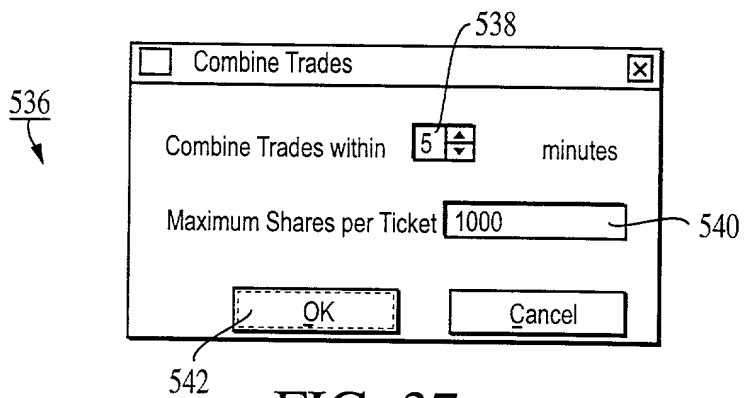


FIG. 37

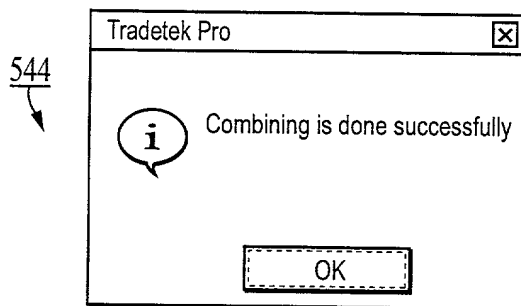


FIG. 38

546

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User Maintenance

User Name: SAMPLE

Password: SAMPLE

Buying Limit: 125000

Commission1: 10

Commission2: 1

Status: ☒ Enabled ☐ Disabled

Account No.: 1023042172

Account Name: SAMPLE

Account Type: Cash Account

Market Type: 1 Customer Account

Front Side Broker: CRBY

Transmitting Firm: 1 TradeTek LLC

Remaining servers:

Servers for this user:

ARCA  
ISLD

Clear

Save

Delete

Exit

FIG. 39

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User Maintenance

Name: ISLD

IP Address: 11.15.13.254

Port: 1684

Interface: ISLD

Clear

Save

Delete

Exit

FIG. 40

582 Client Messages

Client: DAVIDA Server: ARCA Date: Today StkId: \* Show

Client	StkId	Action	Quantity	Price	MMId	Reference No	Info
DAVIDA	MSFT	BOT	200	93 7/8	ARCA		
DAVIDA	CIEN	ACCEPT	300		ARCA		
DAVIDA	CIEN	BOT	100	177	ARCA		
DAVIDA	CIEN	BOT	200	176 15/16	ARCA		
DAVIDA	RHAT	ACCEPT	300		ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	YHOO	ACCEPT	800		ARCA		
DAVIDA	YHOO	SSHRT	800	155 5/16	ARCA		
DAVIDA	LVL	ACCEPT	1000		ARCA		
DAVIDA	LVL	BOT	1000	115 15/16	ARCA		
DAVIDA	L TWO	ACCEPT	700		ARCA		

Raw Message:  
IacceptIICIXIACCEPTII100I61ARCAI020300I10:29:27I100I26I

FIG. 41

589

Client	StkId	Action	Quantity	Price	MMId	Reference No
Info	RawMessage	time	MsgNumber			

FIG. 42

616

618

Server Messages

Server: ARCA Client: SAMPLE Date: Today StkId: SAMPLE Show

Date	Sender	Type	symbol	Seq Num	AdminFlag	Rejected	ServerId	Client
1000303	TTEK	Logon		1	-1	0	3	
1000303	TAL	Logon		1	0	0	3	
1000303	TTEK	NewOrderSingle	AMGN	15	0	0	3	JMKG
1000303	TAL	ExecutionReport	AMGN	15	0	0	3	JMKG
1000303	TAL	ExecutionReport	AMGN	16	0	0	3	JMKG
1000303	TTEK	OrderCancelRequest	PSFT	49	0	0	3	JMKG
1000303	TAL	OrderCancelReject		51	0	0	3	
1000303	TTEK	OrderCancelRequest	PSFT	50	0	0	3	JMKG
1000303	TAL	OrderCancelReject		52	0	0	3	
1000303	TTEK	Logout		108	-1	0	3	
1000303	TAL	Logout		110	0	0	3	

Raw Message:

8=FIX.4.0I9=58I35=A149=TTEKI56=TALI34=1I52=20000303-17:22:08I98=0I108=30I10=070I

FIG. 43

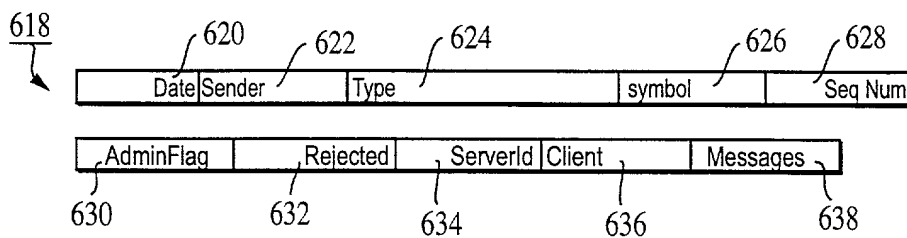


FIG. 44

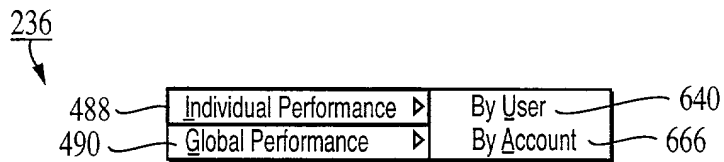


FIG. 45

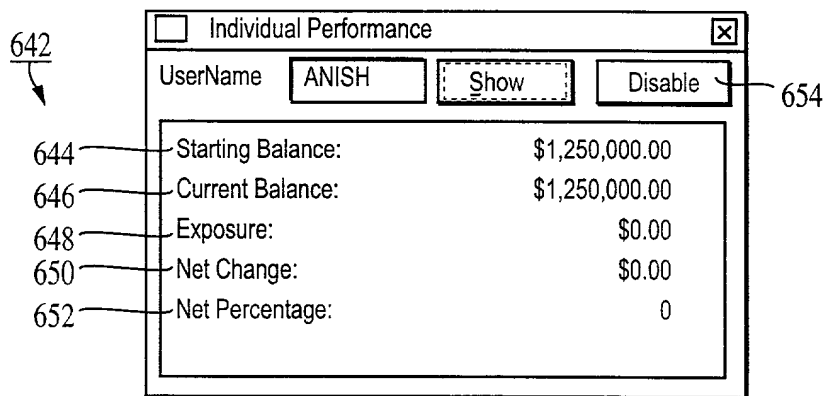


FIG. 46

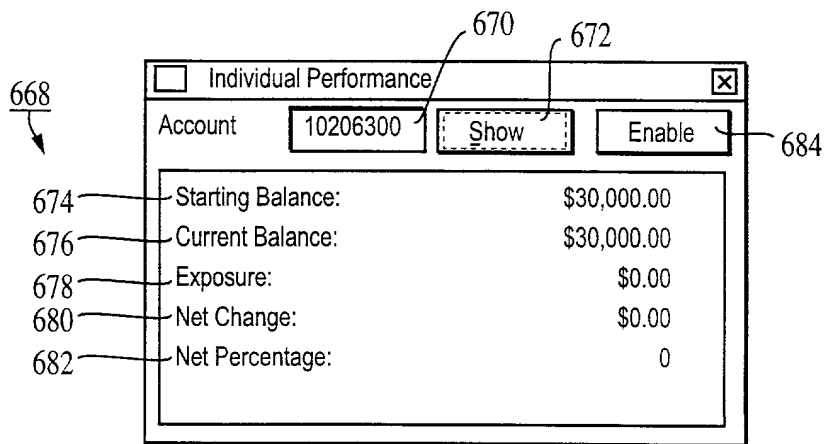


FIG. 47

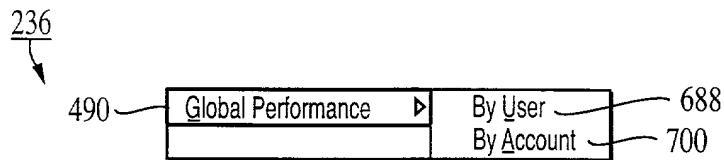


FIG. 48

690

Global Performance <span>□ □ ×</span>					
UserName	Starting	Current	Exposure	Change	Net %
ABC	\$1,125,000.00	\$1,125,000.00	\$0.00	\$0.00	0
ALPHA	\$100,000.00	\$100,000.00	\$0.00	\$0.00	0
ANISH	\$1,250,000.00	\$1,250,000.00	\$0.00	\$0.00	0
ARUNAS	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
BETA	\$100,000.00	\$100,000.00	\$0.00	\$0.00	0
DAVIDA	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
DELTA	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
DILEE	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0
DLG	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
DMW	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
EBEL	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
GAMMA	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
GELFOND	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
JUNE	\$1,000,000.00	\$1,000,275.00	\$0.00	\$275.00	0.03
NIRAMJAN	\$20,000.00	\$20,000.00	\$0.00	\$0.00	0
NIRANJAN1	\$10,000.00	\$10,000.00	\$0.00	\$0.00	0
PAUL	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
SCOTT	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
SOURABH	\$4,000,000.00	\$4,000,000.00	\$0.00	\$0.00	0
STEVE	\$300,099.00	\$300,099.00	\$0.00	\$0.00	0
TEST	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
TESTABC	\$12,000.00	\$12,000.00	\$0.00	\$0.00	0
ZULU	\$500,000.00	\$500,000.00	\$0.00	\$0.00	0

692

FIG. 49

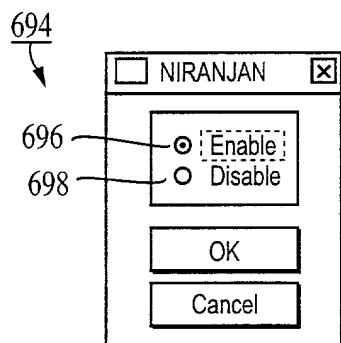


FIG. 50

702

Global Performance								
Account	Starting	Current	Exposure	Change	Net %			
10001	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0			
10206220	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0			
10206230	\$1,125,000.00	\$1,125,000.00	\$0.00	\$0.00	0			
10206240	\$1,250,000.00	\$1,250,000.00	\$0.00	\$0.00	0			
10206250	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0			
10206260	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0			
10206270	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0			
10206280	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0			
10206290	\$1,000,000.00	\$1,000,275.00	\$0.00	\$275.00	0.03			
10206300	\$30,000.00	\$30,000.00	\$0.00	\$0.00	0			
10206310	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0			
10206320	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0			
10206330	\$4,000,000.00	\$4,000,000.00	\$0.00	\$0.00	0			
10206340	\$300,099.00	\$300,099.00	\$0.00	\$0.00	0			
10206350	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0			
10206360	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0			
10206370	\$500,000.00	\$500,000.00	\$0.00	\$0.00	0			
11000111	\$12,000.00	\$12,000.00	\$0.00	\$0.00	0			
12700027	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0			

704

FIG. 51

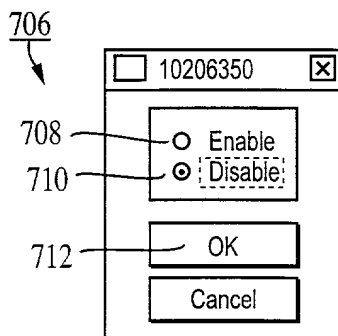


FIG. 52



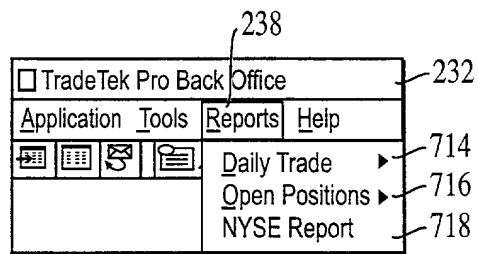


FIG. 53

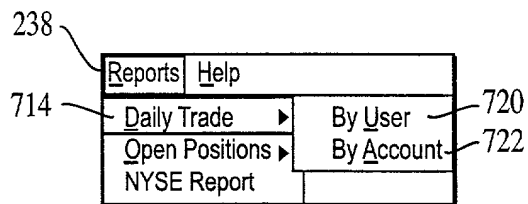


FIG. 54

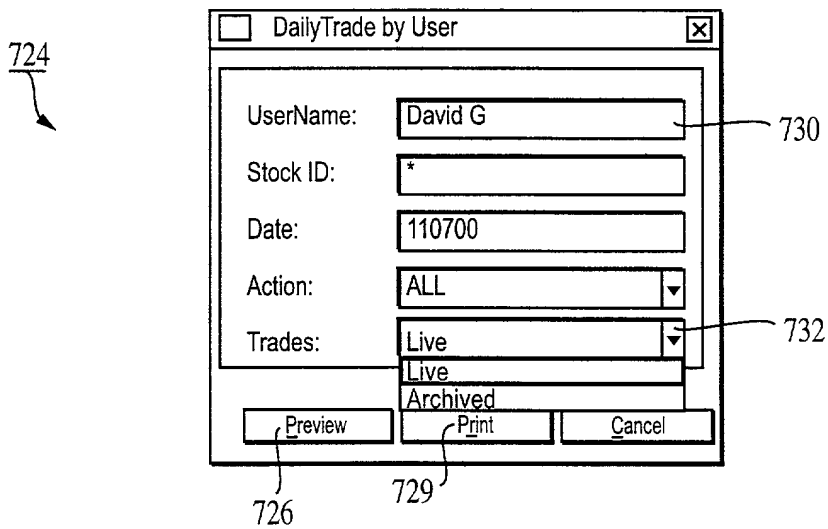


FIG. 55

FINANCIAL LINKS  
MEMBER NASD & SIPC  
18 CRAWFORD ST, NEEDHAM, MA.

FRIDAY JULY 07, 2000  
PHONE: 781 455 0188  
FAX: 781 455 0188

USER: ANISH  
ACCOUNT: 10206240  
ANISH

DAILY TRADE MEMORANDUM

RT#	TICKET#	TIME	STOCK	SHARES	ACTION	MARKET	MMID	PRICE	COMM	SEC	OTHER	TOTAL
07/07/2000												
15749	15749	13:46:21	IES IB	10	BOI	ACIS	ISLD	50 7/16	\$9.00	\$0.00	\$0.25	(\$513.38)
15749	15750	13:48:40	IES IB	10	SLD	ACIS	ISLD	47 3/16	\$9.00	\$0.02	\$0.25	\$462.88
15751	15751	14:50:00	IES IB	100	BOI	ACIS	ISLD	48	\$9.00	\$0.00	\$2.50	(\$4,809.00)
15751	15752	15:00:56	IES IB	10	BOI	ACIS	ISLD	400	\$1.00	\$0.00	\$0.25	(\$4,001.00)
15751	15753	15:01:29	IES IB	110	SLD	ACIS	ISLD	47 1/8	\$9.00	\$0.17	\$2.75	\$5,174.75
15754	15754	16:40:19	IES IB	1	BOI	ACIS	ISLD	46 7/8	\$9.00	\$0.00	\$0.03	(\$55.88)
15754	15755	16:40:49	IES IB	1	BOI	ACIS	ISLD	47	\$1.00	\$0.00	\$0.03	(\$48.00)
15754	15756	16:42:17	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15754	16:42:20	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15758	16:42:21	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15759	16:59:10	IES IB	5	SLD	ACIS	ISLD	13	\$9.00	\$0.00	\$0.13	\$56.00

TOTAL SEC: \$0.19  
TOTAL COMM. & FEES: \$65.25  
TOTAL GROSS PROFIT/LOSS: (\$3,879.50)

FIG. 56

734

DailyTrade by Account

Account: \*

Stock ID: \*

Date: 120700

Action: ALL

Trades: Live

744

736

738

742

Preview

Print

Cancel

FIG. 57

FINANCIAL LINKS  
MEMBER NASD & SIPC  
18 CRAWFORD ST, NEEDHAM, MA.

FRIDAY JULY 07, 2000  
PHONE: 781 455 0188  
FAX: 781 455 0188

ACCOUNT: 10206240  
ANISH

DAILY TRADE MEMORANDUM

RT#	TICKET#	TIME	STOCK	SHARES	ACTION	MARKET	MMID	PRICE	COMM	OTHER	SEC	TOTAL
07/07/2000												
15749	15749	13:46:21	IES IB	10	BOI	ACIS	ISLD	50 7/16	\$9.00	\$0.25	\$0.00	(\$513.38)
15749	15750	13:48:40	IES IB	10	SLD	ACIS	ISLD	47 3/16	\$9.00	\$0.25	\$0.02	\$462.88
15751	15751	14:50:00	IES IB	100	BOI	ACIS	ISLD	48	\$9.00	\$2.50	\$0.00	(\$4,809.00)
15751	15752	15:00:56	IES IB	10	BOI	ACIS	ISLD	400	\$9.00	\$0.25	\$0.00	(\$4,001.00)
15751	15753	15:01:29	IES IB	110	SLD	ACIS	ISLD	47 1/8	\$9.00	\$2.75	\$0.17	\$5,174.75
15754	15754	16:40:19	IES IB	1	BOI	ACIS	ISLD	46 7/8	\$9.00	\$0.03	\$0.00	(\$55.88)
15754	15755	16:40:49	IES IB	1	BOI	ACIS	ISLD	47	\$9.00	\$0.03	\$0.00	(\$48.00)
15754	15756	16:42:17	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$9.00	\$0.03	\$0.00	(\$48.63)
15754	15754	16:42:20	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$0.00	\$0.03	\$0.00	(\$48.63)
15754	15758	16:42:21	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$0.00	\$0.03	\$0.00	(\$48.63)
15754	15759	16:59:10	IES IB	5	SLD	ACIS	ISLD	13	\$9.00	\$0.13	\$0.00	\$56.00

TOTAL SEC: \$0.19  
TOTAL COMM. & FEES: \$87.25  
TOTAL GROSS PROFIT/LOSS: (\$3,879.50)

FIG. 58

FIG. 59

746

748

750

☐ Open Positions by User

UserName: Niranjan

Preview Print Cancel

FIG. 59

754

756

758

☐ Open Positions by Account

Account: \*

Preview Print Cancel

FIG. 60

760

FINANCIAL LINKS  
MEMBER NASD & SIPC  
18 CRAWFORD ST, NEEDHAM, MA.

TUESDAY JULY 11, 2000  
PHONE: 781 455 0188  
FAX: 781 455 0188

ACCOUNT: 10206300  
NIRANJAN AVADHUTA

OPEN POSITIONS AS OF 7/11/00 4:23:37PM

STOCK	TYPE	QUANTITY	AVG. PRICE	TOTAL
CSCO	LONG	200	111.00	22,200.00
MSFT	LONG	200	76.00	15,200.00

TOTAL AMOUNT: \$37,400.00

FIG. 61

☐ NYSE Report Parameters

From Date: 7/11/00

To Date: 7/11/00

File Name: NYSE0700.txt

User ID: 102305

Customer Name: TradeTekl

Export Cancel

762

764

FIG. 62

752

FINANCIAL LINKS  
MEMBER NASD & SIPC  
18 CRAWFORD ST, NEEDHAM, MA.

TUESDAY JULY 11, 2000  
PHONE: 781 455 0188  
FAX: 781 455 0188

OPEN POSITIONS AS OF 7/11/00 4:19:19PM

USERNAME: NIRANJAN  
ACCOUNT: 10206300  
NIRANJAN AVADHUTA

STOCK	TYPE	QUANTITY	AVG. PRICE	TOTAL
MSFT	LONG	200	76.00	15,200.00

TOTAL AMOUNT: \$15,200.00

FIG. 63

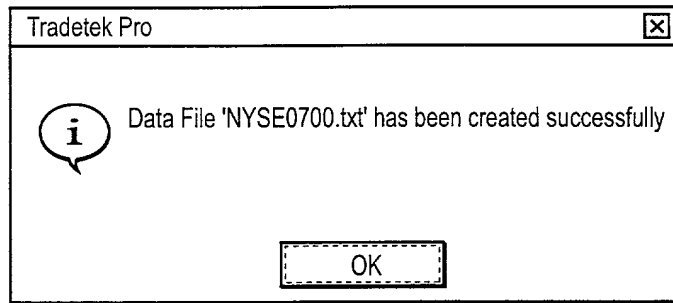


FIG. 64

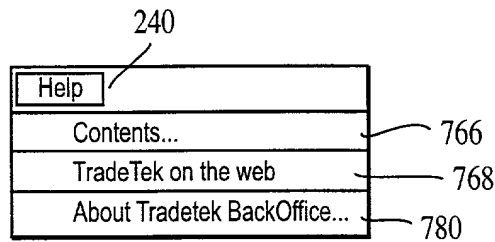


FIG. 65

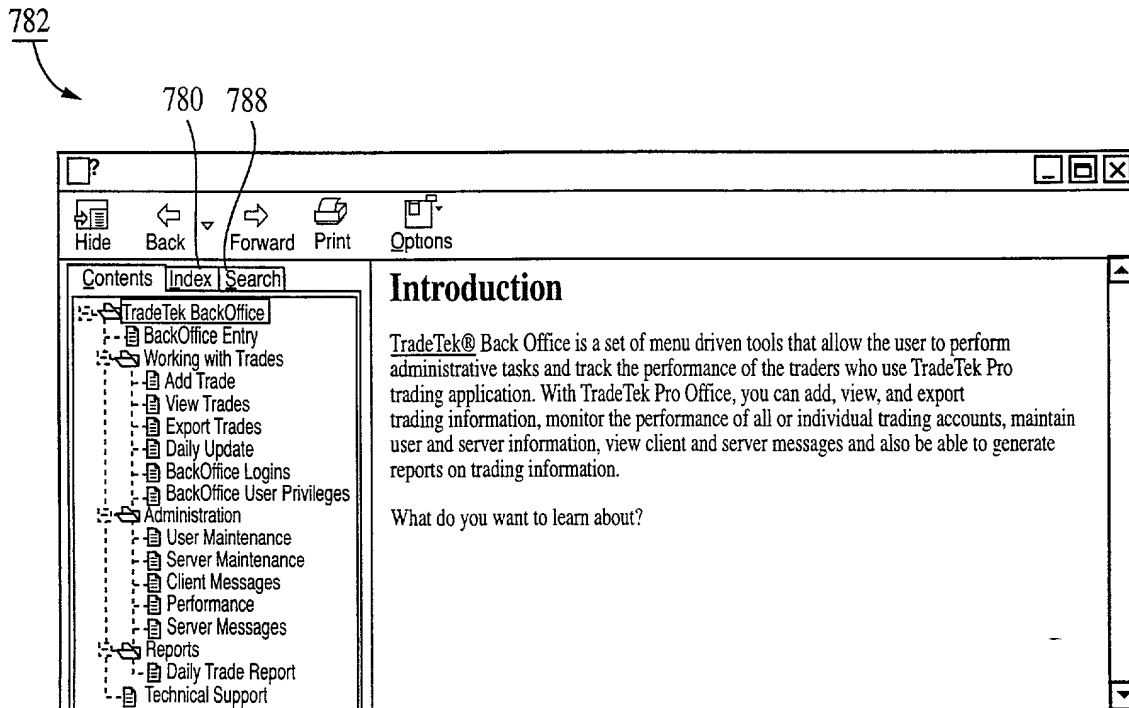


FIG. 66

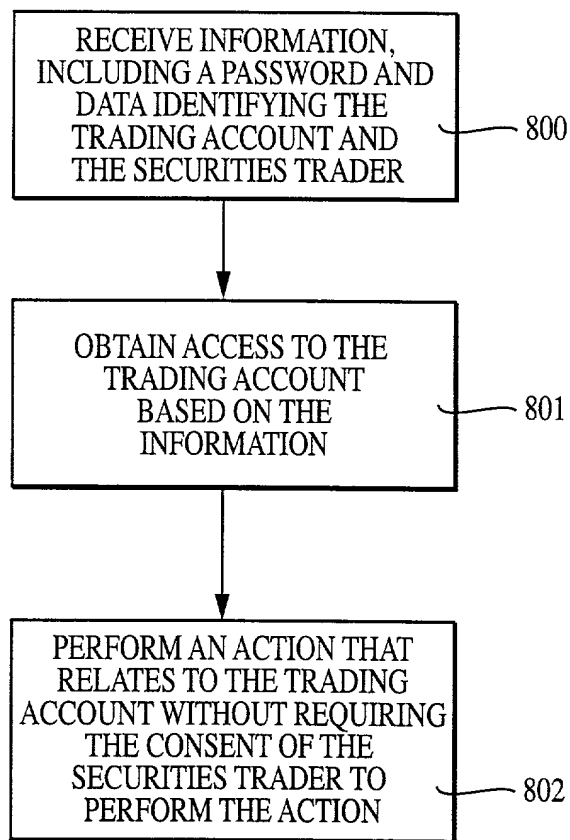


FIG. 67